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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/827,021	04/19/2004	Richard Devlin Schwarz	114129.121 US3

CONFIRMATION NO. 2504

23483

WILMER CUTLER PICKERING HALE AND DORR LLP  
 60 STATE STREET  
 BOSTON, MA 02109

## FORMALITIES LETTER



\*OC000000013161950\*



Date Mailed: 07/07/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$65 for a Small Entity

- \$65 Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

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09/10/2004 ZJUHR1

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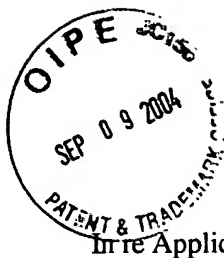
*M. NGUYEN*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



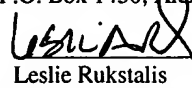
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 114129.121US3)

Initial Application of: Schwarz, et al. ) Examiner: To Be Assigned  
Serial No. 10/827,021 ) Group Art Unit: 3624  
Filing Date: April 19, 2004 )  
For: METHODS FOR EVALUATING THE FINANCIAL STRENGTH OF A HOLDING IN  
COMPARISON TO OTHER HOLDINGS

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 CFR §1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date below.

9-7-04  
Date

  
Leslie Rukstalis

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**  
**Filed Under 37 C.F.R. 1.53(b)**

Dear Sir:

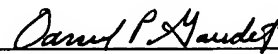
In response to the Notice to File Missing Parts of Nonprovisional Application, mailed July 7, 2004, Applicants submit the following:

1. Notice to File Missing Parts of Nonprovisional Application mailed July 7, 2004;
2. Executed Declaration and Power of Attorney;
3. Payment of \$65.00 Late Filing Fee;
4. Certificate of First Class Mailing; and
5. Return Postcard.

The surcharge fee of \$65.00 pursuant to 37 C.F.R. §1.16(e) and any additional fees that might be due should be charged to Deposit Account No. 08-0219. If there are any questions, please call the undersigned at the telephone number indicated below.

Respectfully submitted,

Date: Sept 7, 2004  
Wilmer Cutler Pickering Hale and Dorr LLP  
60 State Street  
Boston, MA 02109  
(617) 526-6000  
(617) 526-5000 (Facsimile)

  
Daniel P. Gaudet, Reg. No. 48,584  
Attorney/Agent for Applicants



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 114129.121US3)

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9-7-04  
Date

Leslie Rukstalis  
Leslie Rukstalis

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Dear Sir:

Enclosed for filing in the above-identified patent application is a Response to Notice to File Missing Parts of Nonprovisional Application. Please charge all fees due in connection with this matter, or credit any overpayment to Deposit Account No. 08-0219:

If there are any questions, please call the undersigned at the telephone number indicated below.

Respectfully submitted,

Date: Sept 7, 2004  
Wilmer Cutler Pickering Hale and Dorr LLP  
60 State Street  
Boston, MA 02109  
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Daniel P. Gaudet  
Daniel P. Gaudet, Reg. No. 48,584  
Attorney/Agent for Applicants